



**UNITED STATES AGENCY FOR INTERNATIONAL
DEVELOPMENT**

**GUIDELINES FOR APPLYING FOR
COST EXTENSIONS
FOR PROGRAMS ENDING IN FY 2001**

PVO CHILD SURVIVAL GRANTS PROGRAM

**BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION**

SUBMISSION CLOSING DATE: DECEMBER 20, 2000

PART I GENERAL INFORMATION ON COST-EXTENSIONS AND SUBMISSION INSTRUCTIONS

A. Introduction

This document presents instructions and guidelines for completing a request for a cost-extension of programs under the Child Survival Grants Program ending in FY 2001. Part I provides background information and instructions and Part II provides the guidelines for preparing the submission. These instructions reference the FY 2001 Child Survival Grant Program (CSGP) Request for Applications RFA No. M/OP-01-002 (hereafter referred to as the FY 2001 RFA). The RFA is available on line at http://www.usaid.gov/hum_response/pvc/rfa.html. Hard copies can also be obtained from BHR/PVC.

A cost-extension (formerly the follow-on award category) is an extension, with funding and a program description modification, to an existing BHR/PVC-funded program that was awarded through the annual competitive process. Cost-extensions can be up to five years duration and have a total life of project funding of \$1,250,000.

Program extensions should emphasize the following:

- Cost-extensions expand the original project in a meaningful way. This may include, but is not limited to: expanding project strategies to a larger beneficiary population (e.g. expanding the geographic area), adding an intervention, or in some way taking to scale a strategy or intervention.
- The submission must differentiate between the original project and the extended program. For example, if the program expands geographically, the submission must clearly discuss what will be done in the former areas and what will be done in the new areas.
- Submissions for cost-extensions should demonstrate that the original project is on track and is achieving results. The original program should have had an overall positive mid-term evaluation and be able to demonstrate that they are addressing any suggestions/recommendations that were made in the evaluation.
- Cost extensions should demonstrate more in-depth knowledge of the site, and evidence that information collected during the original program is being used to develop the extended program.
- Greater emphasis should be placed on the sustainability and phase out plan.
- The PVO must demonstrate that progress had been made towards meeting the private match requirement. Please see Section II. A. for further details.

- Finally, please remember that the submission is a stand-alone document and must contain all necessary information about the program.

PVOs with programs ending in FY 2001 may also apply for a no-cost extension (provided they have not already applied for a no-cost). No cost extensions are limited to one year, and the purpose is to complete a program that was delayed for some reason. It includes no additional funding and usually no change in the program description. Guidelines for a no-cost extension are available from PVC.

B. Eligibility Requirements

All programs that will end in FY 2001 are eligible to request a cost-extension. This includes programs that have previously received a no-cost extension. However, the following limitations may apply to some submissions:

1. BHR/PVC can not support any activity beyond 10 years of the original award date.
2. The extended program must be in a country that is on the eligible country list in the FY 2001 RFA.
3. BHR/PVC will only support one Cooperative Agreement per country, per PVO. Therefore, if your organization is planning to submit a request for a cost-extension, you should not submit an application for a new program in that same country and vice-versa.
4. A request for a cost-extension does not count against the limit of two new Cooperative Agreements per year per PVO. However, please keep in mind that a PVO may be a recipient of no more than **eight** ongoing child survival programs at any one time, and a cost-extension will count against the total of eight.

C. The Review Process

Each submission for a cost-extension will be reviewed on its own merit. BHR/PVC will convene a panel to discuss the compliance with the evaluation criteria. Funding decisions will be made on the quality of the extension request and on available funding.

The review panel will consist of appropriate staff with international public health expertise from BHR/PVC, USAID Regional Bureaus, and other USAID offices. USAID Missions also review the submissions and send their reviews and comments directly to BHR/PVC. These reviews will be a critical consideration in funding decisions.

The review process will take approximately three to four months, after which BHR/PVC will prepare a recommendation for approval that is signed by the Assistant Administrator of BHR, when funds are available. The decisions regarding cost-extensions will be announced at the same time as the decisions for awards under the FY 2001 RFA. For programs that receive approval for a cost-extension, the USAID Office of Procurement will negotiate a modification to the original agreement with a new budget and extended program description, and will modify the

agreements before September 30, 2001. USAID, however, reserves the right to fund any or none of the submissions.

BHR/PVC will provide all PVOs with a summary of the review panel comments and other relevant written comments. PVOs may request an in-person meeting with PVC staff to discuss the submission.

D. EVALUATION CRITERIA

The criteria on the below chart will be used to evaluate the submissions, so close adherence to the criteria is necessary but does not guarantee a successful review.

SCORING CRITERIA	
<u>A. Budget Information</u>	
<ul style="list-style-type: none"> - SF 424, detailed budget and budget narrative itemize all extended program costs. - Appropriate use of USAID and cost-share funds, HQ & field costs are realistic. - Program activities are adequately budgeted. - PVO cost-share reflects 25% (50% for 3rd cycle) of total budget. - PVO shows sufficient progress towards meeting match requirement - Budget and/or narrative demonstrate partner's participation in planning. - Budget demonstrates phase-out of recurrent costs. 	
Budget Total	5
<u>B. Executive Summary and Overall Application</u>	
<ul style="list-style-type: none"> - Submission follows formatting instructions. - Executive summary presents a comprehensive overview of the proposed extended program. 	
Executive Summary Total	5
<u>C. Summary of Results under the Original Program</u>	
<ul style="list-style-type: none"> - Demonstrated results under original program - Strong midterm evaluation, and evidence that recommendations are being addressed. 	
PVO Applicant Total	10
<u>D.1 Problem Analysis and Strategy Options</u>	
<ul style="list-style-type: none"> - Problem statement of site is compelling. Under 5 and maternal mortality and nutritional status is clearly defined. - Selection of interventions and strategies based upon a thorough assessment of health constraints and opportunities, and builds on data collected under original program. - Relevant stakeholders appropriately involved in the selection of site, interventions and strategies. - Program is consistent with USAID strategic objectives. - Clear distinction made between original program and proposed cost extension 	
Problem Analysis and Strategy Options Total	10
<u>D.2 Extended Program Approach</u>	
<ul style="list-style-type: none"> - Overall extended program goals, result oriented objectives, and strategies and address constraints mentioned in section D.1. - Clearly established goals and objectives that are realistic. The objectives are measurable and represent the highest level result that the recipient can expect to materially affect and for which it will be held accountable. - Clear picture of how the extended program will relate to health activities in the extended program area. - Role of local partners clearly described. - Clearly articulated strategy for behavior change - Clearly articulated plan for training and supervision - Letters of collaboration and endorsement included in attachment - Innovative new methods, strategies or materials described - Realistic plans to address challenges. 	
Program Design Total	10

SCORING CRITERIA	
<u>D.2.a Capacity Building</u>	
<ul style="list-style-type: none"> - Objectives and strategies for building PVO capacity clearly described - Clear plan for sharing lessons learned from this extended program with other PVO programs. - Objectives and strategies for building capacity of local partner clearly described - Capacity building approach supports sustainability objectives 	
Capacity Building Total	10
<u>D.2.b Sustainability</u>	
<ul style="list-style-type: none"> - The elements of the extended program that are to be sustained are clearly stated. - Sustainability objectives and strategies are realistic and appropriate. - Clearly outlined devolution strategy 	
Sustainability Total	20
<u>D. 3Child Survival Interventions</u>	
<ul style="list-style-type: none"> - Essential elements of each intervention are addressed (incl. Quality, access, behavior, training etc.) - Demonstrated knowledge of target population - Approach to extended program integration (IMCI, other) is technically sound - Extended program approach is consistent with MOH policies, or MOH agrees to PVO approach 	
Child Survival Interventions Total	5
<u>E. Performance Monitoring and Evaluation</u>	
<ul style="list-style-type: none"> - Process to gather, analyze, and use data in project management is clearly articulated and realistic - Planned final/baseline studies are clearly outlined, budgeted for, and appropriate. - How extended program data collection will relate to MOH (or other existing) system is clearly described and the two complement each other. - Plan to disseminate lessons learned is articulated - Indicators match extended program objectives, and define what will be measured to evaluate achievements. - Indicators to measure objectives are consistent with globally and/or nationally accepted standards for child survival interventions. 	
Performance Monitoring and Evaluation Total	15
<u>F. Management Plan</u>	
<ul style="list-style-type: none"> - Clear management structure - Roles and responsibilities are clear - Sufficient and appropriate human resources are devoted to the extended program - Sufficient backstopping from headquarters - Areas of technical assistance are identified and appropriate - Workplan is sufficiently detailed 	
Management Plan Total	10
GRAND TOTAL	100

E. Negotiation and Award

Authority to Obligate the Government: The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed cost extension may be incurred before receipt of an amended Cooperative Agreement with written authorization from the Agreement Officer

Budget negotiations will be conducted using applicable OMB Cost Principles and other USAID Guidance that may apply. These negotiations will entail a breakdown of each line item, and reduce to writing all understandings between USAID and the Recipient. The Agreement Officer may request additional information regarding the budget figures. In the event that a cost-extension is approved, a Cooperative Agreement Budget (CAB) will be drafted and negotiated between USAID and the PVO recipient. The CAB in the modification document will be based on the 424A budget and the budget narrative submitted by the PVO.

F. Requirements for funded Programs

Requirements for funded programs are the same as in the FY 2001 RFA. Section I.G.

G. INSTRUCTIONS FOR SUBMITTING A PVO CHILD SURVIVAL GRANTS PROGRAM COST EXTENSION REQUEST

1. Prepare the cost-extension submission by responding to all items in Part II, Sections A-F, including attachments where requested. Ensure that the application addresses all items cited in the Evaluation Criteria.
2. Follow the instructions below for formatting the submission. Submissions that do not follow the instructions will not be reviewed favorably.

*All submissions shall be legible, and on standard, letter-sized paper (8 1/2" x 11"). Sections C-F of the submissions should be no more than 40 (forty) numbered pages. Pages beyond the forty (40) page limit will **NOT** be considered in the review process*

All attachments must be 15 pages or less. In addition, please attach a copy of the midterm evaluation. Do not include attachments to the midterm evaluation, and limit the text of the midterm evaluation to no more than 50 pages. All attachments should be clearly marked, included at the end of the submission, and listed in the table of contents. All attachments and/or supplementary documents must be in English or accompanied by an English translation.

Type face/characters must be no smaller than 10 (ten) characters per inch (10 CPI) or 12 points. "CPI" is a fixed pitch spacing per inch. Point refers to the measurement of proportional spacing of scaleable fonts. To be sure about the font, hold a ruler under a line of type and count the characters in an inch. Ten CPI is generally equivalent to 12 points. Please refer to your word processing manual for a complete explanation. There are two exceptions to the above instruction: 1) budgets may be in a slightly smaller font (10 point), and 2) tables may use smaller fonts, but must be easily readable.

Unnecessarily elaborate brochures, photographs, artwork, expensive paper and bindings, and expensive visual and other presentation aids are not necessary.

3. The application package must include: **one** version on diskette in Microsoft Word 97; **one** unbound, single-sided original; and **two** bound, double-sided copies of the application (each with a complete set of attachments).
4. The title page of the application should include the **name and address of the applicant**.
5. **Submit the cost extension package on or before December 20, 2000.** Send it to one of the two following addresses:

Mailing Address:

Child Survival Division
USAID/BHR/PVC
Rooms 7.06-087, RRB
Washington, D.C. 20523-7600

Hand Carried/Courier Service Address:

Child Survival Division
USAID/BHR/PVC
Room 7.06-087, Ronald Reagan Building
1300 Pennsylvania Ave. NW
Washington, D.C. 20004-3002
(202) 712-1438

6. Send a copy of the complete submission to the USAID Mission in the country(ies) of the proposed program no later than **December 30, 2000**. It is the responsibility of the PVO to ensure that the USAID Mission receives a copy. See ANNEX B of the FY 2001 RFA for the current mission addresses.

PART II

GUIDELINES FOR THE CHILD SURVIVAL GRANTS PROGRAM COST EXTENSION REQUEST

All requests for cost-extensions for Child Survival funding for FY 2001 must be made by completing items A-F below, including attachments where requested. You may cross-reference information that seems repetitive. If any item is not applicable for your program, explain why it is not applicable. Do not omit reference to that item

The following are the page limits:

Section A	Budget Information: No limit
Section B	Executive Summary: 2 pages
Sections C-F	40 pages
All Attachments except Midterm:	15 pages
Midterm Evaluation:	50 pages

The submission should include the following information:

- A. Budget Information
 - 1. SF 424 and 424a
 - 2. Detailed Budget and Budget Narrative
- B. Executive Summary (2 page limit)
- C. Summary of Results under the Original Program
- D. Extended Program Description
 - 1. Problem Analysis and Strategy Options
 - 2. Extended Program Approach
 - 3. Child Survival Interventions
- E. Monitoring and Evaluation
- F. Management Plan
 - 1. Organizational Structure
 - 2. Human Resources
 - 3. Financial Management
 - 4. Work plan

ATTACHMENTS

Map of Program Area (the original area and the proposed extension)
Mentoring Agreement (if applicable)
Letters of Support
Position Description/CVs
Organizational Chart
Midterm Evaluation

A. BUDGET INFORMATION

1. Standard Form 424 & 424A

Standard Form 424 is the standard form used by applicants as a required facesheet for submissions for Federal assistance. Standard Form 424A is the form used by applicants for presenting overall budget information. These forms (424 & 424A), along with detailed instructions for completing them, are included in Annex A of this document. Please pay careful attention to the budget instructions. There are specific criteria that must be met for this program, and failure to accurately complete these forms could result in a non-funded application.

The Standard Form 424A, Section A requests costs organized by headquarters and field, and by Federal and Non-Federal. This information should be the same as that presented in other Sections of the SF 424A. Federal refers to the funds requested from USAID, and Non-Federal refers to funding from the applicant and other sources. The amounts for Federal and Non-Federal presented in the 424A should be the same as the Estimated Funding presented on the Standard Form 424, item 15.a and b, plus any entry for e. The total extended program amount on the SF 424 (item 15g) should be the same as the amount presented in the totals for Section A, and in Section B of the SF 424A. For further information regarding use of Non-Federal funds, refer to the discussion of budget narrative and “cost-share” in this section.

PLEASE NOTE: On the SF 424A, be sure to fill out Section A, columns c and d, with estimated unobligated funds. This is the amount of funding that you anticipate will remain (if any) at the end of original program (i.e. in September 2001) for both federal and non-federal.

Headquarters Costs are *direct* costs incurred by the U.S.-based PVO head office in the United States to support the child survival program both in the field and the PVO capacity building. This does not duplicate established indirect cost rates. USAID will support up to 15% of the direct costs of the USAID funds in the extended program budget for the PVO’s U.S. headquarters’, or joint headquarters’ in the submissions for mentoring partnerships, for support to the field program, and for improving child survival technical and operational capabilities of the PVO(s). This amount may be exceeded up to 20% of the proposed direct costs if the application clearly shows how any additional funds will improve the PVO’s institutional capacity for child survival programming. The headquarters budget should be directly related to the description of how the PVO builds and maintains technical and operational capacity. In addition to backstopping and site visits to the field program, types of activities that PVOs have included in the past are continuing education opportunities for staff, information exchange and technical networking among PVOs, reference materials, and observational visits to other field programs of the same PVO or other PVOs. All headquarters costs must be appropriately distributed in the correct amounts and contained within the correct categories of Standard Form 424A, Section B, as per the guidelines in Annex A.

Field costs should include all funds designated for expenditure within the host-country for carrying out the planned program. All field costs must be appropriately distributed in the correct

amounts and contained within the correct categories of Standard Form 424A, Section B, as per the guidelines in this RFA.

The Standard Form 424A, Section B is divided into eleven “Object Class Categories”. The Object Class Categories must be presented in two columns, “Federal”, which are the costs being funded by the USAID portion of the overall program budget, and “Non-Federal”, which are the costs covered by the PVO cost-share portion of the entire program budget. The entire program budget must be appropriately distributed and contained within these categories and columns. The categories include Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction, Other, Total Direct Charges, Indirect Charges, and Totals. The Construction category does not apply to this program. Program costs proposed for “training” and for “sub-grants” must be included in the "Other" Object Class Category. For further elaboration on each of the Object Class Categories, please refer to the instructions in Annex A. Annex A includes a sample Form 424 and 424A.

2. Detailed Budget and Budget Narrative

a. Pipeline Analysis

Please provide a pipeline analysis of the current program. This should include how much money, both Federal and Non-Federal, has been expended as of September 30, 2000, projected expenditures through September 30, 2001, and amount remaining on September 30, 2001. If the current program will have funds remaining as of September 30, 2001, then the funds requested for the period of the extended program must be reduced accordingly. For example, if the total extended program budget is \$1,000,000, but the project will have \$100,000 remaining, then the New Funds requested should be \$900,000.

Following is an example of how you can structure your pipeline analysis:

Original Budget		Expenditures As of 9/30/2000		Amount Remaining		New Funds Requested		Total Extended Program Amount	
Federal	Non-Fed.	Federal	Non-Fed.	Federal	Non-Fed.	Federal	Non-Fed.	Federal	Non-Fed.

NOTE: A copy the SF 269 reporting on expenditures through September 30, 2000 must be attached as an annex to support your pipeline analysis.

B. Detailed budget and narrative

The detailed budget and narrative should be based on the total extended program amount, should follow the SF424 and 424A, and should fully define and support the line item costs for both the federally-funded (USAID) and non-federally funded (PVO cost-share) portions of the budget. Based on the calculations shown in the narrative, the Cognizant Technical Officer (CTO) and the Agreement Officer should be able to easily verify all costs for the proposed extended program.

The costs proposed for “training” and “sub-grants” must be itemized in the explanation of the Object Class Categories within the budget narrative, so that they may be subsequently negotiated and included in the appropriate category of the Cooperative Agreement Budget.

All costs contained in the budget should accurately reflect the planned level of extended program activities in the program design. For example, the training budget should reflect the specific training activities to be undertaken by the program. If 20% of the program approach includes training, then the budget should reflect the detailed training costs for this level of activity. This same principle should be maintained throughout the budget when itemizing all field costs.

Submissions for all extended program categories should include a detailed procurement plan containing explicit information on how procurements will be accomplished. Carefully read the guidance in Annex A on Equipment, Supplies, and Other, including the sections on restricted goods, 22 CFR 228, and Standard Provisions 3.10. BHR/PVC will **NOT** authorize the use of USAID funding for any restricted goods. BHR/PVC does **NOT** seek waivers for the purchase of non-U.S. motor vehicles, pharmaceuticals, used equipment, seeds or pesticides. The applicant should consider funding such commodities with the non-federal portion of the program budget.

The recipient is expected to comply with USAID Eligibility Rules for Goods and Services in the Standard Provisions, and 22 CFR Part 228, and use its cost-share for any goods and services that do not comply with these rules.

The PVO Cost-Share: An application budget that demonstrates a PVO’s strong financial commitment to the original program and the proposed extended program from its own organization, or from other non-federal sources, will be reviewed positively.

The cost extension submission must demonstrate (in the pipeline analysis and the SF 269 for period ending September 30, 2000) that adequate progress has been made towards meeting the cost share under the original Cooperative Agreement. It is not necessary to have met 100% of the match, but at least 50% of the cost-share should have been met as of September 30, 2000, and the pipeline analysis should demonstrate that 100% will be met by September 30, 2001.

The cost share contribution directly contributes to the achievement of the CSGP program objectives by encouraging ownership of the overall program, and demonstrating the commitment of the PVO. In addition, recipient procurement of non-expendable property ensures and facilitates title to the equipment or vehicle. The applicant must propose a cost-share in an amount not less than 25% of the total extended program budget. The total extended program budget is defined as the total cost of the program, including both Federal and Non-Federal sources. For example, if the total extended program costs \$1,340,000, USAID contributes \$1,000,000 and the PVO contributes \$340,000, then the PVO has contributed exactly 25.37% of the total.

Cost extensions proposed for a third funding period in a country must propose a cost-share in an amount not less than 50% of the total extended program budget. A funding period is

defined as any funding since the beginning of the CSGP in 1985. It is expected that based on previous accomplishments, the PVO will be able to attract other resources to meet this commitment.

The PVO cost-share may consist of PVO contributions, as well as other non-federally-funded contributions received by the PVO for funding of this program. The cost-share must meet all of the criteria detailed in 22 CFR 226, Section 226.23, and the criteria must be discussed in detail within the budget narrative. The entire PVO cost-share must be appropriately distributed (in the correct amounts) and contained within the eleven Object Class Categories of the Standard Form 424 and 424A, Section B as per the guidelines in Annex A.

Please note that if any portion of the proposed cost share includes pharmaceutical donations, PVOs should follow internationally accepted guidelines on the use and distribution of donated drugs. Please refer to the website <http://www.drugdonations.org/eng/index.html> for further information.

Restricted Goods

- ☒ Agricultural Commodities
- ☒ Non-US Motor vehicles (including motorcycles and mopeds)
- ☒ Pharmaceuticals
- ☒ Pesticides
- ☒ Used Equipment
- ☒ U. S. Government-Owned Excess Property
- ☒ Fertilizer

B. EXECUTIVE SUMMARY

The Child Survival Grants Program uses the Executive Summary as an informational document for decision-makers, Congress, public inquiries, the press, and others. Therefore, this Section should contain the information that the PVO believes best represents its extended program. There is no prescribed format for the executive summary. However, it should briefly state the following:

- *extended program location,*
- *problem statement, including why this area is still a high-need area.*
- *estimated number of beneficiaries, broken down by children under five and women of reproductive age*
- *extended program goals, objectives and major strategies. This should include how the cost extension builds on and expands the original program.*
- *breakdown of the estimated level of effort devoted to each intervention using the list of interventions in section I.3.C of the FY 2001 RFA(e.g. immunizations – 30%, control of diarrheal diseases – 45% and pneumonia case management – 25%)*
- *local partners involved in program implementation*
- *indicate whether the cost extension is third cycle funding*
- *the proposed start and end dates*
- *the level of funding*
- *name and position of the local USAID Mission representative with whom the proposed program has been thoroughly discussed*
- *main authors of the document*
- *contact person at PVO for the proposed program (this should also be in the SF 424)*

C. SUMMARY OF RESULTS UNDER THE ORIGINAL GRANT

- ☐ Describe what has been accomplished in the original program.
- ☐ Discuss the results of the midterm evaluation and steps the program took to address the results of the evaluation.

D. EXTENDED PROGRAM DESCRIPTION

D.1 PROBLEM ANALYSIS AND STRATEGY OPTIONS

This section of the application presents the new constraints and opportunities to child survival and maternal health in the program location, and based on these, justifies the selection of interventions and major strategies for the proposed extended program. The PVO should

demonstrate in-depth knowledge of the site and the appropriate use of data from the current project.

- ❑ Briefly describe the location of the proposed extended program. If the extended program area is different from the original program, clearly delineate the old and new areas and provide a map(s) showing each in an ATTACHMENT. Estimate the total population, breaking out children under five years of age, and women of reproductive age (15-49 years) living in the extended program site. Estimate the numbers of villages (or other community unit) that are in the extended program target area. Please cite the sources of data.
- ❑ Discuss the health status of the population including under-five and maternal mortality rates, nutritional status and major causes of mortality and morbidity. Please cite sources of data. Discuss documented changes during the original project.
- ❑ Describe the major opportunities and constraints to maternal and child health and how the interventions and strategies will address those constraints. This should include, but is not limited to, the points below. In your discussion, differentiate between what will be continued or phased out under the original program, and what will be initiated under the extended program.
 - socioeconomic characteristics of the population (such as economy, religion, gender equity, ethnic groups, literacy, etc.) that have an impact on health status.
 - the current status of health care services in the site, including existing services (i.e. those of your PVO, other U.S. PVOs, the MOH, local NGOs, the private commercial sector, and traditional health providers), where people currently seek care, the current level of access, and barriers to access (e.g. cost for services, distance to facilities, and transportation) – particularly for disadvantaged groups.
 - behavioral characteristics of the target population with regard to health (these may be briefly discussed here and elaborated upon in later sections).
 - for countries in transition, or in a post-conflict phase, please include a discussion of specific factors related to the conflict that may affect child survival outcomes.
- ❑ Explain the process used to select the extended program site. If applicable, identify potential opportunities for synergies with other sector programs in the same geographic area.

- ❑ Briefly state the type and background of the local organizations and/or groups with which your organization has worked under the original program and, if applicable new organization the program will work with under the extended program.
- ❑ Describe the involvement of all relevant stakeholders (e.g. MOH, community and local partners) in the selection of the extended program site, interventions and strategies.
- ❑ In an ATTACHMENT, include a letter showing general support for the proposed extended program from each of the cooperating governmental and/or other organizations with which the extended program will maintain and/or establish a formal relationship. The letter does not have to outline specific roles and responsibilities. Each letter must be dated within three months of your application submission.
- ❑ Describe how the extended program is consistent with USAID-Mission's strategic objective for the proposed country.

Please Note: Submissions for third cycle funding should explain why the country, the site, and the program are a still a high priority for assistance from the Child Survival Grants Program.

D.2 EXTENDED PROGRAM APPROACH

This section provides an overview of the extended program, including capacity building and sustainability.

- ❑ Describe the broad extended program approach, including the goal, results-based objectives, and major strategies that will best address the constraints described in Section D.1. Discuss significant changes in approach from the original program to the extended program, and reasons for change.
- ❑ Describe the local partners' role in the implementation of the extended program.
- ❑ Discuss the relationship the extended program will have with other existing, or future health-related activities and/or health facilities, including those of your own PVO, other PVOs, networks or associations of NGOs, local organizations, private commercial and traditional providers, and the government.
- ❑ Describe the extended program's approach to behavior change for individuals, families, communities and health service providers, and others as appropriate. Include the approaches that will be used at the community level (including community health workers, traditional healers and birth attendants, mothers groups etc.). A broad strategy should be discussed here, and elaborated upon in Section D.3, Child Survival Interventions. Discuss lessons that have been learned from the original program that will inform the behavior change strategy.

- ❑ Discuss any plans for health-policy related advocacy the extended program plans to undertake. Describe any activities the extended program plans undertake with coalitions of NGOs.
- ❑ Discuss the extended program's approach to training. Include how training will be planned, carried out, and followed-up. Be sure to include training activities in the workplan. You may also further discuss the content of training in Section D.3, Child Survival Interventions.
- ❑ Describe approaches to increasing equitable access to and use of services by under-served and disadvantaged groups and segments of the population, including gender inequalities.
- ❑ Describe new methods, strategies, or materials to be developed or adopted by the proposed extended program that may be applicable on a wider scale or beneficial in other areas or programs.
- ❑ Discuss new major challenges to achieving results and how the extended program plans to address the challenges.
- ❑ If new opportunities for synergies with another sector program in the same geographical area have been identified and will be further explored, discuss how the programs will work together and benefit from each other.

D.2.a CAPACITY BUILDING

This section describes planned approaches to capacity building. It should specify the expected areas in which capacity will be built, the systems levels at which capacity will be built, and the level of capacity that is expected to be attained within each system identified. The capacity building approach should support the overall goal of the extended program and the sustainability objectives outlined in the next section. See Annex C.2, (Technical Reference Materials) of the FY 2001 RFA for information and resources on capacity building. Also please note that a baseline and final assessment of the PVO and the local partner's organizational capacity is a requirement for funded programs. Please see Section I.G., Requirements for Funded Programs, in the FY 2001 RFA, for details.

Strengthening the PVO

- ❑ Discuss the areas of capacity that still need strengthening in the U.S. PVO. Reference any institutional assessments that the organization may have already carried out.
- ❑ State the capacity building objectives for increasing the PVO's capacity under the cost extension. Describe how the PVO will use the extended program to strengthen the capacity of the organization, including the level of the organization that will be

affected (e.g. health unit at headquarters, the PVO local office staff, other programs of the PVO, the entire organization), and the areas of capacity that will be enhanced.

- ❑ Explain how lessons learned from the extended program will be shared with other programs implemented by the PVO.
- ❑ In the M&E Section, be sure to discuss how the current capacity of the PVO will be assessed, and provide indicators to measure progress towards objectives.

Strengthening the Local Partner

- ❑ Describe the approach the extended program will use to build the capacity of the local partner(s). Discuss any plans to work with local networks/associations of NGO/PVOs.
- ❑ State the capacity building objectives for increasing the local partner's capacity under the extended program. Include the level of the organization that will be affected and the areas of capacity that will be enhanced. Discuss the approach the extended program will take (including tools you plan to use), to build and or maintain a strong relationship with the local partner.
- ❑ In the M&E Section, be sure to discuss how the capacity of the local partner(s) will be assessed.
- ❑ Discuss any new constraints to building the capacity of the local partner and how these constraints might affect achievements over the life of the project.

D.2.b SUSTAINABILITY

- ❑ Define what sustainability means from the perspective of your PVO and the proposed extended program.
- ❑ Provide sustainability objectives, and discuss the extended program's strategy for achieving sustainability. Be sure to identify what elements of the extended program are to be sustained, and how they will be sustained, when the USAID-funded extended program ends. In a broad sense, what the extended program plans to "leave in place." At a minimum, explain how the community structures created or reinforced will continue to function, how end of project levels of coverage will be maintained, and how increased technical abilities in the local partners and the PVO will be maintained. Be sure to include your sustainability objectives and indicators in the Program Matrix in the M&E Section.

- ❑ Discuss the assumptions (e.g. general health trends, national economic trends, local political factors, and cultural factors) upon which your sustainability strategy is built.
- ❑ Explain how your capacity building approach supports the achievement of your sustainability objectives.
- ❑ If there are plans for the extended program to institute a fee-for-service or other type of cost recovery, describe the process that will be undertaken to establish an analytic basis for these decisions. Discuss any cost-recovery strategies that were undertaken under the original program.
- ❑ Discuss the devolution strategy for transitioning to other funding or transferring all activities to a local partner. Discuss how extended program recurrent costs will be phased-out or handed over to a local partner. Describe the experience the original program has had in the process of phasing out, and how this experience will inform the extended program.
- ❑ Include an average cost per target beneficiary based on the projected number of beneficiaries who will be in your extended program area *in the final year* of the program. (Note: program area is defined as the specific geographical areas in which your program interventions will be implemented.) To be consistent we ask that all applicants use the following formula:
 1. Define your target beneficiaries by determining whether your proposed intervention mix will target only children (0-59 months) or both children and women of childbearing age.
 2. Determine the total number of target beneficiaries projected to be in the program area at the end of your project.
 3. Divide the total amount of program funds (USAID funding and match funds) requested by the total number of target beneficiaries, then divide by the number of years the project is proposed to be funded.

Example: A project proposes to implement an IMCI program with a Maternal and Neonatal Care Component. Over the course of a 5-year program with \$ 1,000,000.00 in USAID funding and \$333,000 in match funding, the project will gradually phase into 20 communities in district “X”, each with a projected population of 5000 people by year 5. Of the 100,000 total population in these 20 communities, it is projected that by year five of the project there will be 30,000 women of childbearing age and 20,000 children 0-59 months.

To calculate the average cost per beneficiary:

1. Define beneficiaries as both women of child bearing age and children 0-59 months.
2. Total number of target beneficiaries is 50,000.
3. $\$1,333,000.00 / 50,000 = \26.66 . $\$26.66/5 \text{ years} = \$5.33 \text{ per target beneficiary/per year}$

D.3. CHILD SURVIVAL INTERVENTIONS

This section should provide a detailed discussion of each child survival objective and/or intervention in an integrated package of interventions. In your discussion, be sure to differentiate the original program interventions from the extended program interventions. For each intervention:

- ❑ Describe how the extended program will address the essential elements of the intervention (e.g. care-seeking behavior, equitable access, and quality of care) and who will be responsible for carrying out activities. Describe the reasons for any changes in the interventions from the original program to the extended program.
- ❑ Provide an explanation of and justification for, any proposed intervention activities that differ from the MOH policy in the proposed country.
- ❑ Provide relevant information on key household behaviors and care seeking practices and any changes over the life of the original program. Knowledge of the local populations should be evident.
- ❑ If your extended program strategy includes some aspect of the Integrated Management of Childhood Illness (IMCI), please address the following: Which aspects of IMCI will be addressed (i.e. facility based, systems strengthening, community IMCI). What is the status of IMCI adoption and implementation in the country and the program area? What training materials will be used? Who will conduct the training and how long will it last? For your information, an analysis of the programmatic gaps in the IMCI sections of FY 2000 application submissions is available on the PVC web site.

E. PERFORMANCE MONITORING AND EVALUATION

- ❑ Briefly describe the current program's monitoring and evaluation system. Discuss how data on indicators is currently collected, analyzed, and used for program management, and how the current data collection system relates to other data collected in the program area (e.g. MOH data systems). Discuss the overall strengths and weaknesses of the current system.
- ❑ Discuss how the extended program will build on and improve the current system. Describe new data that will be collected.
- ❑ Describe the types of final/baseline assessments, studies or surveys that will be carried out under the extended program. Include assessments of PVO and local partner capacity, qualitative assessments, and population-based assessments.
- ❑ Discuss how the extended program will document and share lessons learned with the broader child survival community.

- Discuss operations research ideas that will be carried out in the extended program.
- Summarize the proposed extended program's goal, results-based objective(s) and major activities. These should be the same as already discussed in the narrative of earlier sections. In addition, include indicator(s) for measuring the achievement of each objective. You may use a matrix or other graphic to present the information. The Matrix on the following page is a composite example drawing from what various PVOs have submitted in the past. If your PVO has standardized on a particular approach, such as a logical framework, or a results framework, please use your organization's preferred format.

The graphic should provide the reader with a concise summary of the proposed extended program, what the extended program will hold itself accountable to achieve and how the extended program will measure these outcomes and impact.

EXAMPLE OF A EXTENDED PROGRAM MATRIX TO DISPLAY EXTENDED PROGRAM GOALS AND OBJECTIVES

Goal: _____

OBJECTIVES	INDICATORS	MEASUREMENT METHODS	MAJOR PLANNED ACTIVITIES
* Objective 1	* indicator(s) * indicator * indicator	* measurement method(s)	* activity(ies) * activity
* Objective 2	* indicator * indicator	* measurement method	* activity * activity
* Objective 3	* indicator * indicator	* measurement method	* activity * activity

Definitions:

Goal: A statement of the long-term aim of the project. While the complete fulfillment of a goal may not be possible or verifiable within the life span of the project, the achievement of the project's more specific objectives should contribute to the realization of the goal.

Objective: A statement of what the program plans to achieve during the life of the project. This achievement is the highest level result that a program can materially effect with its efforts.

Indicator: An indicator specifies what to measure to determine whether the objective has been achieved.

Targets: A target is the planned value of the indicator at the end of the project. (e.g., 70% of children fully immunized by project end). In the above Matrix, targets can be stated in the objective statement or in the indicators. Illustrative, end-of-program targets should be provided in the application. If the program is funded, targets can be adjusted in the DIP according to baseline survey results.

Measurement

Method: The measurement method identifies the source of the data for the indicators. (e.g. initial and final KPC Survey).

Planned

Activities: Activities support the achievement of the objective. These include inputs and processes carried out by the program.

F. MANAGEMENT PLAN

This section describes how the extended program will be managed.

F.1. ORGANIZATIONAL STRUCTURE

- ❑ Describe the proposed management structure for this extended program. Include the responsibilities of all principle organizations involved and the reporting relationships and lines of communication within and between each of these organizations.
- ❑ Discuss how the US headquarters will ensure effective support to the field for this project.
- ❑ In an ATTACHMENT, please provide an organizational chart that clearly delineates the key personnel responsible for technically backstopping this extended program in your U.S. headquarters office and managing this extended program in your in-country office. Describe how they fit into the overall organization, and the linkages between the headquarters, regional (if applicable), and field program personnel.

F.2 HUMAN RESOURCE MANAGEMENT

- ❑ Provide a list of ALL persons who will contribute to achieving the results of the extended program. This may include, but is not limited to: PVO headquarters and field staff, local partner staff, MOH staff, community health workers, and private sector providers. For each type of worker provide: 1) the number of workers in that category, 2) organizational affiliation, 3) main responsibilities; 4) percent of effort devoted to project activities, and 5) entity responsible for remunerating the worker (e.g. the PVO, the MOH, the community, volunteer). Please indicate any changes in staffing from the original program to the extended program.
- ❑ Discuss how the extended program will ensure representation of all segments of the community in the staff.
- ❑ Provide in an ATTACHMENT resumes for the headquarters backstop and the field program manager (if already hired), and/or position descriptions.
- ❑ Discuss arrangements to ensure the security and safety of extended program personnel. This is particularly important for those PVOs applying for programs in countries experiencing conflict and those transitioning from complex emergencies to long term, sustainable development.

- Please identify the types of technical assistance you might require from the PVO Child Survival Grants Program through various mechanisms. Describe how your PVO might use these services to assist you with your extended program.

F.3 FINANCIAL MANAGEMENT

- Discuss the roles and responsibilities of project staff vis-à-vis budgeting, monitoring, and reporting on the financial status of the project.
- Explain how your extended program will track costs incurred, including costs for labor, equipment, supplies, and facilities.

F.4 PROJECT WORKPLAN (Must be included within the 40 page limit)

- Please present a brief, but illustrative work plan for the life of the extended program. Ensure that it reflects the strategies and activities discussed throughout the application. If you plan to phase in or phase out interventions or sites, include a schedule.
- Include a more detailed action plan (calendar of essential activities) for the first year of the extended program, including activity, approximate timing, and assigned responsibility. Be sure to include all training activities in your workplan.
- Discuss how the extended program team will use the workplan during extended program implementation.

STANDARD FORMS 424 AND 424A
INSTRUCTIONS FOR COMPLETION AND SAMPLE
BHR/PVC CHILD SURVIVAL GRANTS PROGRAM

Standard Form 424

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION:		2. DATE SUBMITTED	Applicant Identifier NA	
Application ____ Construction _X_ Non-Construction	Reapplication NA ____ Construction ____ Non-Construction	3. DATE RECEIVED BY STATE NA	State Application Identifier NA	
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier NA	
5. APPLICATION INFORMATION				
Legal Name:		Organizational Unit		
Address (give only county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)		
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		7. TYPE OF APPLICATION: (enter appropriate letter in box)..... M		
8. TYPE OF APPLICATION _X_ New ____ Continuation ____ Revision If Revision, enter appropriate letter(s) in box(es)..... A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify): C. Increase Duration		A. State B. County C. Municipal D. Township E. Interstate F. Inter-municipal G. Special Dist. H. Independent School Dist I. State Controlled Institution of Higher Learning J. Indian Tribe K. Individual L. Profit Organization M. Other (specify)		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: NA TITLE:		9. NAME OF FEDERAL AGENCY USAID/BHR/PVC		
12. AREAS AFFECTED (Cities, Counties, States, etc.):		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:		
START DATE	END DATE	a. Applicant NA	b. Project NA	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?		
a. Federal	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON: DATE B. NO. _X_ PROGRAM IS NOT COVERED BY E.O. 12372 _X_ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
b. Applicant	\$			
c. State	\$ NA			
d. Local	\$ NA			
e. Other	\$			
f. Program Income	\$			
g. TOTAL	\$			
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? ____ Yes If "Yes", attach an explanation ____ No				
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.				
a. Type Name of Authorized Representative		b. Title		c. Telephone Number
d. Signature of Authorized Representative				e. Date Signed

ANNEX A
RFA 938-2001-A-0500-17

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget.

Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET; SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | |
|---|--------|---|
| 1. Self-explanatory. | | 12. List only the largest political entities affected (e.g., State, counties, cities). |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | | 13. Self-explanatory. |
| 3. State use only (if applicable). | | 14. List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. Legal name of applicant, name of primary organizational unit, which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application. | | 16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State inter government review process. |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes. |
| 7. Enter the appropriate letter in the space provided. | | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- "New" means a new assistance award.

- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.

- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | SF 424 Back (Rev. 4-92) |
| 9. Name of Federal agency from which assistance is being requested with this application. | | |
| 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |

- | Item: | Entry: |
|---|--------|
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | |

ANNEX A

RFA 938-2001-A-0500-17

Standard Form 424A

Budget Information - Non-Construction Programs

SECTION A – BUDGET SUMMARY						
Grant Program Function Or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1. Headquarters	\$ NA	\$	\$	\$	\$	\$
2. Field	NA					
3. NA	NA	NA	NA	NA	NA	NA
4. NA	NA	NA	NA	NA	NA	NA
5.TOTALS	\$ NA	\$ NA	\$ NA	\$	\$	\$
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	USAID PROGRAM		RECIPIENT FUNDS		Total {g}	
	(1) Federal	(2) Non-Federal	{3}	{4}		
a. Personnel (1)	\$	\$	\$ NA	\$ NA	\$	
b. Fringe Benefits (1)			NA	NA		
c. Travel (1)			NA	NA		
d. Equipment (3)			NA	NA		
e. Supplies (3)			NA	NA		
f. Contractual (3)			NA	NA		
g. Construction N/A			NA	NA		
h. Other (1), (2) (see notes)			NA	NA		
i. Total Direct Charges (sum of 6a-6h)			NA	NA		
j. Indirect Charges (4)			NA	NA		
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	
7. Program Income	\$	\$	\$	\$	\$	

STANDARD FORM 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Headquarters		\$	\$ NA	\$	\$
9. Field			NA		
10. NA		NA	NA	NA	
11. NA		NA	NA	NA	
12. TOTAL (sum of lines 8-11)		\$	\$ NA	\$	\$
SECTION D - FORECASTED CASH NEEDS					
13. Federal		Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter
		\$	\$	\$	\$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)					
SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program		Future Funding Periods			
		(b) First	(c) Second	(d) Third	(e) Fourth
16. Headquarters		\$	\$	\$	\$
17. Field					
18. NA		NA	NA	NA	NA
19. NA		NA	NA	NA	NA
20. TOTAL (sum of lines 16-19)		\$	\$	\$	\$
SECTION F – OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

Standard Form 424A (cont'd.) INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines, which prescribe how, and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

SF 424A (Rev. 4-92) Page 3

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A (continued)

Section B. Budget Categories

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants who are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications,

enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SF 424A (Rev. 4-92) Page 4

The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

a. Personnel

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. Fringe Benefits

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. Travel

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per diems are based on established policies.

d. Equipment

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

e. Supplies

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

f. **Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grants, which should be included in other.

g **Construction**

N/A

h. **Other**

PVOs are to identify all costs associated with training of project personnel.

PVOs planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The PVO should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all subgrants.

i. **Indirect Charges**

Include a copy of the PVO's most recent negotiated indirect cost rate agreement (NICRA) from cognizant audit agency showing the overhead and/or general administrative rate.

USAID Form 424A, Section C should reflect the PVO's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies, must be documentable.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B–Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative. Do **NOT** use the four **Cost Elements of the Cooperative Agreement Budget shown below.**

SAMPLE COOPERATIVE AGREEMENT BUDGET

<u>Budget Cost Element</u> <u>Amount</u>	SF 424, sec.B, Item 6 <u>Object Class Category</u>	<u>Budget</u>
Program	Line a, c, and h	\$ _____
Training	Line h	\$ _____
Procurement	Line d, e and f	\$ _____
Indirect Costs	Line j	\$ _____
Program's Total Budget		\$ _____
Funding arrangement:		
Total USAID Amount		\$ _____
Recipient's Cost Share		\$ _____
Total Program Funding		\$ _____